COUNTERPART INTERNATIONAL
In partnership for results that last.

# Participación Cívica Project

# Monitoring and Evaluation Annual Report FY16

**(October 1, 2015 – September 30, 2016)**

Submission: October 2016

**DISCLAIMER**

This publication was produced by Counterpart International for review by the United States Agency for International Development under Cooperative Agreement No. AID-520-LA-15-00001. The authors' views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

# TABLE OF CONTENTS

**Table of Contents** ..... **3**
**Acronyms** ..... **4**
**Executive Summary** ..... **6**
**Resumen Ejecutivo** ..... **7**
**Program Description** ..... **8**
Theory of Change and Results Framework ..... 8
**Overview of Monitoring and Evaluation** ..... **11**
Baseline Study ..... 11
Knowledge Management Portal ..... 11
Lessons Learned and Challenges ..... 12
**Performance monitoring results and indicators FY16** ..... **12**
Goal: Strengthen and develop the capacities of CSOs in Guatemala to play a more effective role in addressing citizen security, accountable governance, and corruption issues ..... 12
Project Objective 1: Support targeted CSOs' efforts to promote accountable governance and combat corruption ..... 13
Result 1.1: Increased number of CSOs that successfully conduct advocacy for reform processes and the monitoring and auditing of state performance and compliance ..... 16
Project Objective 2: Strengthen Institutional and Technical Capacity of Targeted CSOs ..... 19
Result 2.1: Increased number of CSOs engaged in transparency and good governance issues with increased organizational capacity ..... 20
Result 2.2: Enhanced coordination and collaboration among CSOs engaged in transparency, good governance, particularly in creating spaces for dialogue and consensus around key issues and strategies ..... 21
**Appendices** ..... **24**
Appendix I: Performance Indicator Tracking Table ..... 24
Appendix II: Training Activities Summary ..... 26
Appendix III: CSOs Assisted during FY16 ..... 27
Appendix IV: Policy Tracking Template ..... 30

## ACRONYMS

| | |
|---|---|
| ASIES | Association for Social Studies and Research (*Asociación de Investigación y Estudios Sociales en Guatemala* in Spanish) |
| ACONANI | National Association for Family, Youth and Child (*Asociación Comisión Nacional de Acción por la Niñez, la Juventud y la Familia* in Spanish) |
| ANADJU | Association for Aid to Children, Adolescents and Youth (*Asociación para Ayuda a la Niñez, Adolescencia y Juventud* in Spanish) |
| CALAS | Guatemala Legal Action Center for Environmental and Social (*Centro de Acción Legal Ambiental y Social de Guatemala* in Spanish) |
| CENTRARSE | Action Center for Corporate Social Responsibility in Guatemala (*Centro para la Acción de la Responsabilidad Social Empresarial en Guatemala* in Spanish) |
| CEGSS | Studies Centre for Equity and Governance in the Health System (*Centro de Estudios para la Equidad y Gobernanza en el Sistema de Salud* in Spanish) |
| CENACIDE | National Center for Information and Research in Development and Disaster (*Centro Nacional de Información e Investigación en Desarrollo y Desastres* in Spanish) |
| CIGG | Governmental Research Center of Guatemala (*Centro de Investigación Gubernamental de Guatemala* in Spanish) |
| CIG | Chamber of Industry of Guatemala *(Cámara de Industria de Guatemala)* |
| CODEFEM | Collective for the Defense of the Rights of Women in Guatemala (*Colectiva para la Defensa de los Derechos de las Mujeres en Guatemala* in Spanish) |
| CONADI | National Council for the Care of Persons with Disabilities (*Consejo Nacional para la Atención de las Personas con Discapacidad)* |
| CSO | Civil Society Organization |
| DO | Development Objective |
| DEMOS | Central Institute for the Study of Social Democracy *(Instituto Centroamericano para el Estudio de la Democracia Social)* |
| FADS | Relatives and Friends Against Crime and Kidnapping (*Familiares y Amigos contra la Delincuencia y el Secuestro* in Spanish) |
| FUNDESA | Foundation for Guatemala's Development (*Fundación para el Desarrollo de Guatemala* in Spanish) |
| FUNDEMIX | Foundation for the Development of Mixco (*Fundación para el Desarrollo de Mixco* in Spanish) |
| FY | Fiscal Year |
| GAM | Support Group (*Grupo de Apoyo Mutuo* in Spanish) |
| GESI | Gender Equity and Social Inclusion |
| GCSS-LWA | Global Civil Society Strengthening Leader with Associates |
| GMU | Grants Management Unit |
| GGM | Grupo Guatemalteco de Mujeres |
| GOG | Government of Guatemala |
| IACC | International Anti-Corruption Conference |
| ICEFI | Central America Institute of Fiscal Studies (*Instituto Centroamericano de Estudios Fiscales)* |
| IEPADES | Teaching Institute for Sustainable Development (*Instituto de Enseñanza para el Desarrollo Sostenible* in Spanish) |
| ICCPG | Institute for Comparative Studies in Criminal Sciences in Guatemala (*Instituto de Estudios Comparados en Ciencias Penales en Guatemala*) |
| IDESAC | Institute for Comparative Studies in Criminal Sciences in Guatemala *(Instituto para el Desarrollo Económico Social de América Central* in Spanish) |
| IFES | International Foundation for Electoral Systems |

| | |
|---|---|
| IR | Intermediate Results |
| IREX | International Research and Exchanges Board |
| IRIPAZ | Institute of International Relations for Peace *(Instituto de Relaciones Internacionales para la Paz* in Spanish*)* |
| KMP | Knowledge Management Portal |
| LOP | Life of Project |
| LGBTI | Lesbian, Gay, Bisexual, Transgender, and Intersex |
| MCN | Civic National Movement (*Movimiento Civico Nacional* in Spanish) |
| M&E | Monitoring and Evaluation |
| MSC | Most Significant Change |
| NGO | Non-Governmental Organization |
| OD | Organizational Development |
| ODISOG | Organization for Integral Development and Sustainable East and Guatemala (*Organización para el Desarrollo Integral y Sostenible de Oriente y Guatemala* in Spanish*)* |
| OTRANS-RN | Organization Trans-Queens of the Night (*Organización Trans Reinas de la Noche* in Spanish*)* |
| OGP | Open Government Partnership |
| PODA | Participatory Organizational Development Assessments |
| REDNOVI | Network of non-Violence Agasint Women (*Red de la no Violencia contra las Mujeres* in Spanish*)* |
| Q | Quarter |
| TA | Technical Assistance |
| TBD | To be Determined |
| USAID | United States Agency for International Development |
| UNAMG | Naitonal Union of Women of Guatemala (*Unión Nacional de Mujeres de Guatemala*) |
| USG | United States Government |
| Y | Year |

## EXECUTIVE SUMMARY

The Civil Society for Accountable Governance and Citizen Security Project, also known as *Participación Cívica*, hereafter referred to as "the Project," is a five-year Project financed by the U.S. Agency for International Development (USAID) under the framework of the Global Civil Society Strengthening Leader with Associates (GCSS-LWA) Agreement. The overall goal of the Project is to: ***Strengthen and develop the institutional capacity of Civil Society Organizations (CSOs) in Guatemala to play a more effective role in addressing citizen security, accountable governance, and corruption issues.*** The Project will support and build the capacity of CSOs through two complementary and mutually reinforcing objectives:

**Objective 1:** Support Targeted CSOs' Efforts to Promote Accountable Governance and Combat Corruption; and
**Objective 2:** Strengthen Institutional and Technical Capacity of Targeted CSOs.

The Project is implemented by Counterpart International Inc. (Counterpart) in partnership with Palladium International (Palladium), the International Foundation for Electoral Systems (IFES), and the International Research and Exchanges Board (IREX).

Fiscal Year (FY) 2016 marked the start of the *Participación Cívica* Project's implementation of activities and corresponding monitoring period. Data from Year (Y) 1 reflects progress on the Project's strategic approach through institutional and technical capacity strengthening of CSOs in their efforts to promote accountable governance and combat corruption. In total, 82 CSOs and five government agencies received trainings and Technical Assistance (TA) during Y1 of the project.

The Project conducted 10 trainings for CSOs and government representatives. Of those 10 trainings, nine focused on the subjects of transparency and anti-corruption and one focused on strengthening CSO capacity in proposal development. In total, 22 training days were provided in Y1 to 229 individuals (females: 125, males: 104). As a result of these interventions, the targeted CSOs were better prepared for their transparency and anti-corruption work at the national and local level.

Of the 12 indicators scheduled to yield results in Y1, the Project exceeded its targets in three, met its targets in two, and did not meet its targets in seven. Four other indicators are scheduled to yield results in Y2 and two other indicators' targets still need to be determined (for a total of 18 indicators as outlined the Project's M&E Plan[1]). Of the seven indicators that did not meet Y1 targets, the targets for Y1 were either estimated taking into account a projection of activities by the Project's expected subrecipients,[2] whose subgrants are still pending, or baseline data is being established.

For the two indicators that have yet to establish a baseline, the Project is implementing its Baseline Study in the Project's four implementation municipalities. One component of this study, the citizen perception survey, will collect baseline data for indicators 1 and 2. The Baseline Study started in September 2016 and will be completed in December, 2016. The results from the Baseline Study will be reported in the Project's Y2 October – December 2016 Quarterly Report.

In addition to the training and TA provided, the Project was able to establish one network composed of six CSOs based in Guatemala City. This network was created to focus on the Open Government Partnership (OGP) initiative. One of the Project's most significant achievements in Y1 was the reactivation of the OGP initiative in Guatemala. This initiative seeks to engage the Government of Guatemala (GOG) and CSOs in the joint design and implementation of an Open Government Action Plan, which identifies commitments to foster the fundamental principles of open government – citizen participation, government transparency, and accountability. The Project strengthened the OGP's mandate in Guatemala through strategic TA and

[1] To date the Project's M&E Plan is still under review with USAID.
[2] For the purposes of this Report, the term subrecipient refers to non-U.S. based (local) subrecipients, unless indicated otherwise.

support to the CSO Network for Open Government to improve coordination between CSOs and the GOG. These efforts resulted in the participatory design of the 2016-2018 Open Government Action Plan.

## RESUMEN EJECUTIVO

El Proyecto "*Civil Society for Accountable Governance and Citizen Security"* (CSAGCS), o *Participación Cívi*ca, llamado de aquí en adelante "el Proyecto," es un proyecto de cinco años financiado por la Agencia de Estados Unidos de América para el Desarrollo Internacional (USAID) – por sus siglas en inglés) bajo el marco del Convenio Global para el Fortalecimiento de la Sociedad Civil y Socios (GCSS-LWA). El objetivo principal del Proyecto es: ***fortalecer y desarrollar las capacidades de las Organizaciones de la Sociedad Civil (OSC) en Guatemala para desempeñar un rol más eficaz en atender temas de transparencia, redición de cuentas y la problemática de corrupción en el país***. El Proyecto desarrollará la capacidad de la sociedad civil a través de dos objetivos complementarios y de mutuo sostén:

**Objetivo 1:** Brindar apoyo a los esfuerzos de las OSCs seleccionadas en la promoción de un gobierno transparente y en el combate de la corrupción; y

**Objetivo 2:** Fortalecer la capacidad técnica e institucional de las OSC seleccionadas.

El Proyecto es implementado por Counterpart International Inc. (Counterpart) en asociación con Palladium International (Palladium), la Fundación Internacional para Sistemas Electorales (IFES), y el Consejo Internacional de Investigación e Intercambios (IREX).

El año 2016 marcó el inicio del período de reporte de monitoreo. Datos del Año 1 reflejan avances en el enfoque estratégico del Proyecto, a través del fortalecimiento de la capacidad institucional y técnica de las OSC en sus esfuerzos para promover un gobierno responsable y combatir la corrupción. En total ochenta y dos OSC y cinco organizaciones gubernamentales locales recibieron capacitación y asistencia técnica durante el primer año del Proyecto.

El Proyecto, llevó a cabo diez programas de capacitación para las OSC y representantes del Gobierno. De estas diez capacitaciones, nueve se enfocaron en la transparencia y la lucha contra la corrupción, y una en fortalecer la capacidad de OSC para desarrollar propuestas de proyectos. En total, el Proyecto brindó 22 días de capacitación a 229 individuos (125 mujeres y 104 hombres) en el Año 1 del Proyecto. Estas intervenciones resultaron en OSC mejor preparadas para llevar a cabo su trabajo relacionado con la promoción de la transparencia y la lucha contra la corrupción a nivel nacional y local.

De los 12 indicadores en que se previó alcanzar resultados en el Año 1, el Proyecto superó sus objetivos en tres, cumplió en dos, y no se alcanzaron sus objetivos en siete indicadores. Se tiene programado que cuatro indicadores adicionales brinden resultados en el Año 2, mientras que aún se necesitan determinar los restantes dos (para un total de 18 indicadores según lo esbozado en el Plan de Monitoreo y Evaluación del Proyecto). De los siete indicadores que no alcanzaron sus objetivos establecidos para el Año 1, las metas fijadas para este año fueron estimadas tomando en cuenta la proyección de actividades por parte de los subdonatarios del Proyecto, para quienes las subvenciones están aún pendientes, o datos de línea de base están siendo establecidos.

Para los dos indicadores que aún tienen que establecer una línea de base, el Proyecto está implementando un Estudio de Línea de Base en los cuatro municipios de cobertura del Proyecto. Uno de los componentes de este estudio, la encuesta sobre la percepción de la ciudadanía, colectará datos de línea de base correspondientes a los indicadores 1 y 2. El Estudio de Línea de Base inició en septiembre de 2016 y será completado en diciembre de 2016. Los resultados de este estudio serán reportados en el primer Reporte Trimestral del Año 2 del Proyecto – periodo comprendido entre octubre y diciembre de 2016.

Además de las capacitaciones y la asistencia técnica brindada, el Proyecto posibilitó el establecimiento de una red compuesta de seis OSC basadas en la ciudad de Guatemala. Esta red fue creada con el fin de trabajar con mayor énfasis en la iniciativa de Gobierno Abierto. Uno de los logros más significativos del Proyecto en el Año 1 fue la reactivación de la Alianza para el Gobierno Abierto en Guatemala. Esta iniciativa busca comprometer al Gobierno de Guatemala y las OSC en el diseño e implementación de los compromisos establecidos en el Plan de Acción de manera conjunta, para promover los principios fundamentales de un gobierno abierto - participación ciudadana, transparencia gubernamental y rendición de cuentas. El Proyecto reforzó el mandato de la Alianza para el Gobierno Abierto a través del apoyo y asistencia técnica estratégica a la Red de OSC para el Gobierno Abierto, para mejorar la coordinación entre las OSC y el Gobierno de Guatemala. Estos esfuerzos dieron como resultado el diseño participativo del Plan de Acción de Gobierno Abierto 2016-2018.

## PROGRAM DESCRIPTION

USAID's Participación Cívica Project is a five-year initiative aimed to strengthen and develop the capacity of Civil Society Organizations (CSOs)[3] in Guatemala to play a more effective role in addressing citizen security, accountable governance, and corruption issues. It will accomplish this goal through two complementary and mutually reinforcing objectives:

1. Support Targeted CSOs' Efforts to Promote Accountable Governance and Combat Corruption;
2. Strengthen Institutional and Technical Capacity of Targeted CSOs.

The Project will contribute to USAID Guatemala's Country Development Cooperation Strategy Development Objective 1 through the following actions:

- Supporting and building CSO's capacities for a vigorous oversight and auditing of key government processes and institutions, including through investigative journalism;
- Supporting CSOs to provide TA to public institutions to prevent and address corruption-related issues;
- Strengthening CSOs at the local level to promote local transparency and accountability that will improve the effectiveness of municipal services; and
- Fostering an environment of mutual trust between CSOs and government institutions that will promote increased citizen-government collaboration on violence prevention and other initiatives, particularly focused on promoting transparency and anti-corruption efforts.

Project activities will contribute to Development Objective (DO) 1, of USAID/Guatemala Strategy specifically, Intermediate Result 1, Output 1.3 "Strengthened Accountability and Transparency of Institutions that Work on Security and Justice Issues."

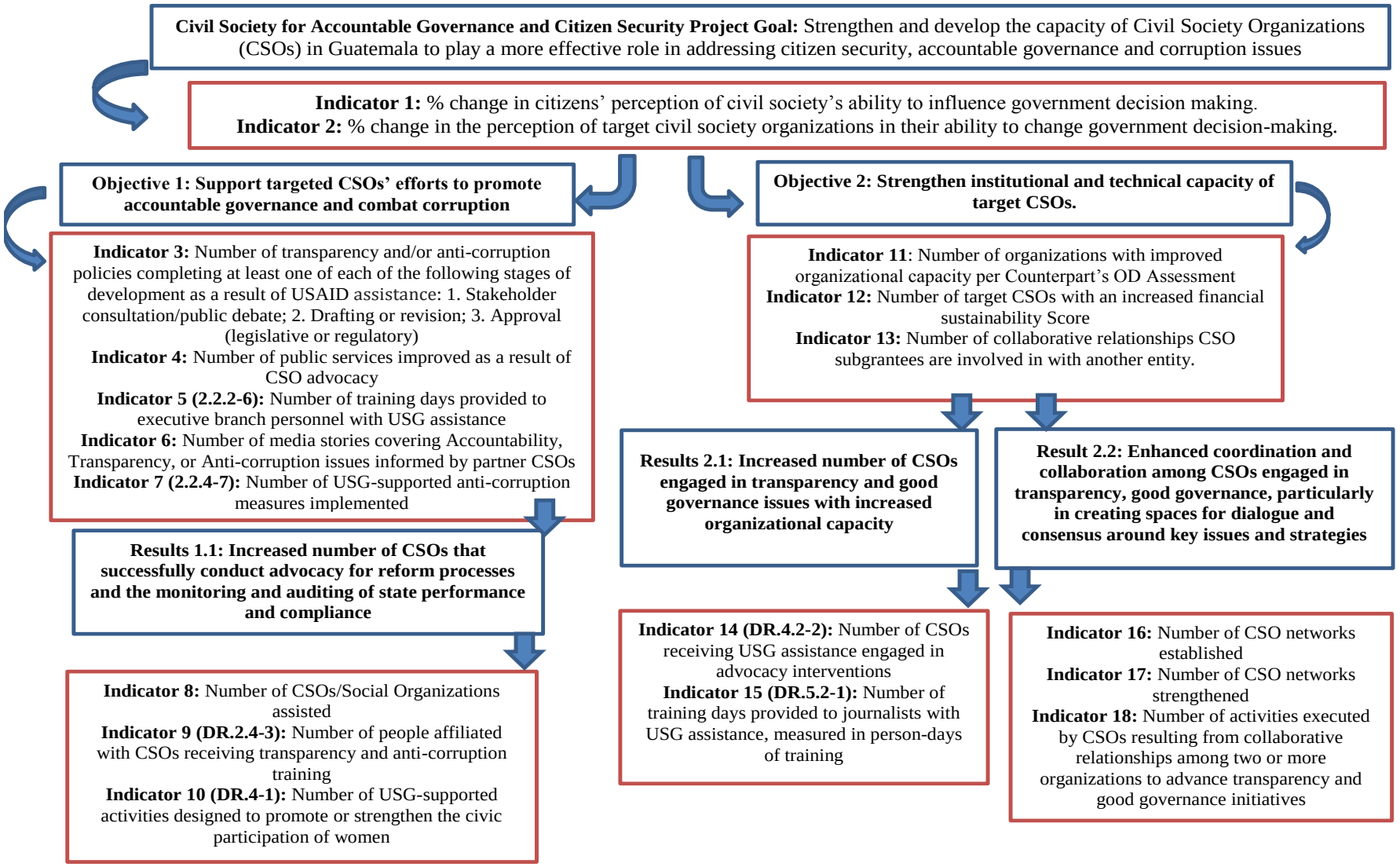
### Theory of Change and Results Framework

The Project's theory of change is that *if we strengthen CSOs to promote transparency and accountability of government processes and institutions through institutional strengthening, non-partisan constructive engagement, and inclusive civic participation, then CSOs will be better able to mobilize and support local communities and individuals to more effectively work in creating greater transparency, civic engagement, trust, and accountability in local governments and within the GOG.*

[3] The term Civil Society Organization, or CSO, as used in this document extends beyond non-governmental organizations to also include think tanks, universities, private sector foundations, independent media, community-based organizations, professional associations, chambers and any other legally-constituted groups that are independent of the government and actively involved in promoting social causes.

The theory of change described above was developed with the assumption that the political systems in Guatemala will continue a process of democratization, through which citizens and civil society can both provide input into and promote accountability of these systems. Another assumption of the Project's theory of change is that targeted leaders, organizations, and networks that participate in the Project will focus on fostering constructive civic engagement and strengthen their ability to positively engage with government; thereby increasing the responsiveness to community needs. Working under these assumptions, the partner CSOs receiving Project capacity-building support will become more effective in their internal operations and will be able to improve the quality of their technical interventions, increasing the overall impact and ability to influence government transparency and accountability. **Chart #1** illustrates the Project's results framework that stems from this theory of change.

**Chart 1**: The Project's Result Framework



## OVERVIEW OF MONITORING AND EVALUATION

The Project's M&E Plan – through a participatory effort with USAID – has been revised and submitted (7th version) to USAID for approval on September 21, 2016. In the version submitted, the Project clarified the roles and responsibilities of the M&E unit, articulated the methodology for the Project's Baseline Study, as well as revisited the relevance and suitability of the indicators for each Intermediate Result (IR).

The Project hired a new M&E Manager, who started on September 19, 2016, to revamp the M&E system, develop tools, and provide M&E training and TA to the Project's staff and its subrecipients.

### Baseline Study

The Baseline Study was competitively awarded to Langer Research Associates during FY16 Q4. The planning stage, including the design and pre-testing of tools, began in early September, and the actual field work began in October 2016. The Baseline Study will provide the basis for the capacity, current purview, and various stakeholder's perception of civil society in Guatemala as it relates to the Project's efforts in both of its objectives. A mixed methodology was designed, including qualitative and quantitative techniques (a citizen perception survey, Focus Group Discussions, and/or Key Informant Interviews). In order to have a comprehensive overview of the role of civil society, the Baseline Study began with a literature review to have a deeper understanding of the existing conditions for CSOs to fight against corruption, and the potential solutions to this problematic, as well as to help identifying potential programmatic priorities for the Project in the near- and longer-term future.

The data collection includes qualitative data through 32 key informant interviews and 8 focus group discussions distributed in targeted locations in Guatemala City, Villa Nueva, Mixco, and Amatitlán. The purpose of these qualitative sessions will be to obtain personal and professional insights on issues regarding citizen security, accountable governance, and corruption, and the perceived role of CSOs in addressing these concerns from a range of citizen and other stakeholders' viewpoints. Quantitative data will be collected by surveying random and representative samples of citizens in each targeted locations using the latest available data from the National Statistics Institute as the sample source. The sample includes a total of 1,200 household surveys to obtain citizen perception about the role of CSOs in promoting accountable governance and preventing corruption and violence.

The first draft report of the Baseline Study will be available in December 2016. An analysis session of the findings and results will be held with USAID/Guatemala in order to obtain inputs for the final report.

### Knowledge Management Portal

The Knowledge Management Portal (KMP) is an online portal that captures the Project's inputs, outcomes, and impacts, and allows for data management and analysis to effectively monitor and report on Project activities. The KMP will be used to archive the Project's documentation and will also serve as a database of partners' activities, events, media reports, training materials, and trainees.

During Q4, the Project focused on developing tools for data collection of different activities such as trainings, events, and TA, in order for the Project to upload information on the Project's events and trainings into the KMP.

The M&E Manager received administration training on the KMP from Counterpart Headquarters. The Project intends to provide training to subrecipient CSOs in FY17, so that they can likewise use the KMP as an M&E tool for data administration and storage.

## Lessons Learned and Challenges

***Gender Equality and Social Inclusion (GESI) and Monitoring and Evaluation***

In regards to the GESI strategy[4] during Y1, the Project carried out a number of activities aimed at expanding its outreach to a variety of different CSOs representing various issues and populations, particularly to those that advocate for the advancement of marginalized populations.[5] A current challenge is the lack of participation of marginalized populations, which can affect the Project's results and overall impact when such populations are not included in discussions and decision-making processes; and when their concerns, interests, and needs are not fully integrated into governance processes. This challenge will be addressed in two ways during Y2: 1) through the development of specific activities to ensure participation of these marginalized populations and 2) through the development of activities to enhance the advancement of marginalized populations through CSO's anti-corruption practices. In order to have a holistic approach to the integration of GESI considerations, an additional M&E tool will be developed in Y2 to measure the outcomes to increase the participation of marginalized populations in anti-corruption, transparency, and social auditing initiatives.

In addition, the Project encountered challenges when reporting data to TraiNet. Currently, the database only allows participants to be labeled as either male or female and it does not allow other options. This means that in order to report the data in TraiNet, the LGBTI community representatives that identify themselves as "other" (not female or male) have to be labeled based on the names provided. The Project acknowledges that this is not an ideal best practice, and since TraiNet cannot be modified, clarifications have been made in the report in the form of comments and/or footnotes. In the future, the Project will ask participants how they wish to be identified and continue to use comments and/or footnotes when needed.

## PERFORMANCE MONITORING RESULTS AND INDICATORS FY16

## Goal: Strengthen and develop the capacities of CSOs in Guatemala to play a more effective role in addressing citizen security, accountable governance, and corruption issues

**Indicator 1 (Impact):** % change in citizens' perception of civil society's ability to influence government decision making.

***Table 1**: Impact Indicator 1*

| Baseline Value (2015) | FY16 (Oct. 2015 – Sept.2016) | | |
|---|---|---|---|
| | **Target** | **Actual** | **Annual Variance** |
| TBD | TBD | TBD | TBD |

[4] Currently under review for approval by USAID.

[5] The Project will identify the marginalized populations' particular concerns and interests regarding anti-corruption and transparency issues in order to prioritize and maximize their inclusion in all Project efforts. This information will be gathered via the combined effort of the baseline study and the Gender Equality and Social Inclusion (GESI) Analysis to be conducted by Palladium during the first quarter of Y2 as part of the Project's GESI Strategy. Factors that can affect an individual and/or community putting them in vulnerable or marginalized positions are (but not limited to): one's sex; age; ethnicity; geographic location (rural/urban); sexual orientation/gender identity; and disability. **Throughout this document we use the term 'marginalized populations' to represent these target populations: women, youth, indigenous population, LGBTI persons, and people with disabilities.**

This indicator measures the percentage change (increase) in citizens' perception of the ability of CSOs to influence government decision making. This indicator will be reported through a baseline study and a final evaluation. During the reporting period, the baseline study was initiated in September 2016, and is expected to be completed by December 2016. Once the baseline study data is available, the Project – in consultation with USAID – will establish the indicator's target. Data for this indicator will be reported in the next annual M&E report.

**Indicator 2 (Impact):** % change in the perception of target civil society organizations in their ability to change government decision-making.

***Table 2**: Impact Indicator 2*

| **Baseline Value** (2015) | **FY16 (Oct. 2015 – Sept.2016)** | | |
|---|---|---|---|
| | **Target** | **Actual** | **Annual Variance** |
| TBD | TBD | TBD | TBD |

This indicator measures the percentage change (increase) in target CSOs' perception of their own ability to influence government decision making. This indicator will be reported through a baseline study and final evaluation. During the reporting period, the baseline study was initiated in September 2016, and is expected to be completed by December 2016. Once the baseline study data is available, the Project – in consultation with USAID – will establish the indicator's target. Data for this indicator will be reported in the next annual M&E report.

## Project Objective 1: Support targeted CSOs' efforts to promote accountable governance and combat corruption

**Indicator 3 (Outcome):** Number of transparency and/or anti-corruption policies completing at least one of each of the following stages of development as a result of USAID assistance: 1. Stakeholder consultation/public debate; 2. Drafting or revision; 3. Approval (legislative or regulatory).

***Table 3**: Outcome Indicator 3*

| ***Table 3**: Outcome Indicator* **Baseline Value** (2015) | **FY16 (Oct. 2015 – Sept.2016)** | | |
|---|---|---|---|
| | **Target** | **Actual** | **Annual Variance** |
| 0 | 2 | 0 | -2 |

This is an outcome indicator that will achieve its set targets as the result of a process initiated in Y1. The Project provided technical assistance and strategic planning support to six CSOs and GOG representatives that resulted in the approval and implementation of the 2016-2018 Open Government Action Plan. Technical assistance includes the facilitation of one international training in Uruguay for CSO representatives and two in-country trainings: one on facilitation techniques to members of CSOs and Government representatives for the roundtable discussions and one training to increase the knowledge of CSOs in Access to Public Information.

The Action Plan is a mechanism created to adopt policy reforms and revamp the regulatory framework for transparency and/or anti-corruption policies in Y2 and Y3. The 2016-2018 Open Government Action Plan incorporates 22 commitments under five thematic areas. These commitments are policies which will be tracked throughout the LOP and contribute to this indicator's targets. The delay in reporting targets against this indicator will be covered in Y2, achieving the adoption of other transparency and/or anti-corruption policies, via other initiatives, such as the projected Open Parliament Action Plan. An example of how this indicator will be tracked is found in **Appendix IV.**

**Indicator 4 (Outcome):** Number of public services improved as a result of CSO advocacy.

***Table 4**: Outcome Indicator 4*

| **Baseline Value** (2015) | **FY16 (Oct. 2015 – Sept.2016)** | | |
|---|---|---|---|
| | **Target** | **Actual** | **Annual Variance** |
| 0 | 0 | Not applicable | Not applicable |

The Project will launch advocacy activities in Q2 of FY17, therefore this indicator is not reportable during Y1.

**Indicator 5 (2.2.2-6) (Output):** Number of training days provided to executive branch personnel with USG assistance.

***Table 5**: F-Indicator 2.2.2-6 / Output Indicator 5*

| **Baseline Value** (2015) | **FY16 (Oct. 2015 – Sept.2016)** | | |
|---|---|---|---|
| | **Target** | **Actual** | **Annual Variance** |
| 0 | 20 | 1 | -19 |

The Open Government Partnership Facilitation Techniques Workshop was a one-day training activity provided to CSOs and Government personnel on June 6, 2016, to build their capacities on facilitation techniques. This training was provided by the Project to strengthen the Open Government Action Plan building process, especially for the technical roundtables and consultations which occurred in Cobán, Quetzaltenango, and Guatemala, on June 7 and 13, 2016. Additional detailed information on trainings can be found in **Appendix II.**

In this training, a total of nine Executive Branch personnel (female: 5, male: 4) were trained in facilitation techniques. The following table presents the number of representatives of the Executive Branch that attended the training.

***Table 6**: Executive Branch Personnel Trained*

| **Executive Branch Institution** | **Male** | **Female** | **Total** |
|---|---|---|---|
| Open Government *(Gobierno Abierto)* | 1 | 2 | 3 |
| Ministry of Public Finance (*Ministerio de Finanzas Publicas)* | 0 | 2 | 2 |
| Ministry of Interior *(Ministerio de Gobernación)* | 2 | 1 | 3 |
| Ministry of Health and Public Assistance (*Ministerio de Salud*) | 1 | 0 | 1 |
| ***Total*** | **4** | **5** | **9** |

The non-compliance of the FY16 target (20) is due to a delay in the start of subgrant activities, which will contribute to the direct results of this indicator. The implementation of subgrants was not possible without approval of the Subaward Manual, which was approved in Q4 FY16. Therefore, the anticipated subrecipients were not able to implement the activities that would have contributed to the targets.

The Project is able to cover the gap in Y2 reporting by implementing training activities designed through subrecipient partners for executive branch personnel of Ministries and Secretaries and independent government officials. It is expected that the subrecipients will initiate their implementation activities during the second quarter of FY17.

The subrecipients and Project staff may provide training to executive branch[6] personnel depending on the subgrant SOW to count the training days towards this indicator. The relationship to this indicator is any training that executive branch personnel receive will be reportable.

**Indicator 6 (Outcome):** Number of media stories covering Accountability, Transparency, or Anti-corruption issues informed by partner CSOs.

***Table 7**: Outcome Indicator 6*

| **Baseline Value** (2015) | **FY16 (Oct. 2015 – Sept.2016)** | | |
|---|---|---|---|
| | **Target** | **Actual** | **Annual Variance** |
| 0 | 4 | 2 | -2 |

During FY16, the CSOs participating in the OGP and Open Parliament initiatives provided their activity updates to different media outlets to publish their stories.

The details of each media story can be found in the following reference table.

***Table 8**: Media Stories Reference Table*

| **Media Stories** | **Type of Media** | **Reference** |
|---|---|---|
| ***"Presidente Taracena inauguró foro Desafíos del Parlamento Abierto"*** | Digital Media | http://www.congreso.gob.gt/noticias.php?id=7752 |
| ***"Sociedad civil propondrá políticas de transparencia"*** | Digital Media | http://elperiodico.com.gt/2016/05/24/pais/sociedad-civil-propondra-politicas-de-transparencia/ |

The non-compliance of the FY16 target (4) is due to a delay in the start of subgrant activities which will contribute to the direct results of this indicator. The implementation of subgrants was not possible without approval of the Subaward Manual, which was approved in Q4 FY16. Therefore, the anticipated subrecipients were not able to implement the activities that would have contributed to the targets.

In Y2, the Project anticipates meeting its combined targets for Y1 and Y2 under this indicator once the initial subgrants are launched and the Project provides its financial and technical support for the execution of anti-corruption initiatives driven by future CSO partners, which are expected to incorporate advocacy and public outreach components.

**Indicator 7 (2.2.4-7) (Outcome):** Number of United States Government (USG)-supported anti-corruption measures implemented.

[6] The executive branch personnel that will be counted towards this indicator will be the personnel of Ministries and Secretaries and independent government that make up the Executive Branch of the Guatemalan government.

***Table 9**: F-Indicator 2.2.4-7 / Outcome Indicator 7*

| Baseline Value (2015) | FY16 (Oct. 2015 – Sept.2016) | | |
|---|---|---|---|
| | Target | Actual | Annual Variance |
| 0 | 5 | 3 | -2 |

Although the Project was not able to meet the target for this indicator as planned as a result of unexpected delays in the launching of the Subgrants Program, the Project made significant progress to achieve this. The implementation of the 2016-2018 Open Government Action Plan will lead toward the accomplishment of this indicator. The three measures that were implemented as a result of Project assistance included: the regional open consultation sessions, roundtable discussions, and the 2016-2018 Open Government Action Plan itself.

The anti-corruption measures are described below.

***Table 10**: Anticorruption Measures*

| Anticorruption Measure | Type of Measure |
|---|---|
| 1. Regional Open Consultation Sessions | Consultative Mechanism |
| 2. Subject Roundtable Discussions | Consultative Mechanism |
| 3. Open Government Action Plan 2016-2018 | Enforcement mechanisms for new regulations |

## Result 1.1: Increased number of CSOs that successfully conduct advocacy for reform processes and the monitoring and auditing of state performance and compliance

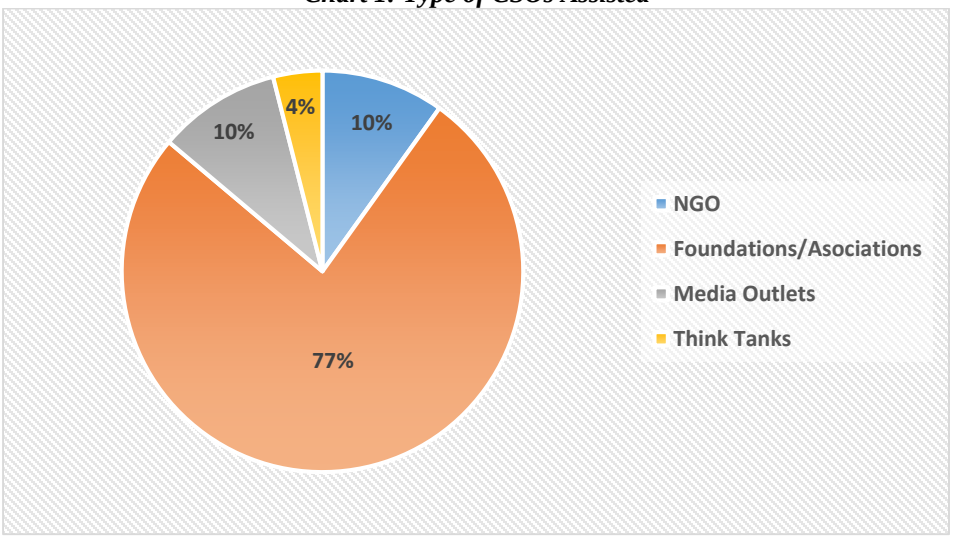
**Indicator 8 (Output):** Number of CSOs/Social Organizations Assisted.

***Table 11**: Output Indicator 8*

| Baseline Value (2015) | FY16 (Oct. 2015 – Sept.2016) | | |
|---|---|---|---|
| | Target | Actual | Annual Variance |
| 0 | 35 | 82 | +47 |

The activities contributing to this indicator include ten trainings provided to different CSOs, four Participatory Organizational Development Assessment (PODAs), and various events implemented by the Project. All CSOs that worked with the Project in Y1 are considered "new" to the Project as per the indicator definition. The M&E Unit will track if any of these organization participate in the following years as "CSOs continuing." The over-achievement results for this indicator are due to the positive responses and active participation of CSOs in Project activities conducted in lieu of subgrant activities. The chart below presents the types of CSOs assisted, with a more detail description found in **Appendix III.**

***Chart 1: Type of CSOs Assisted***




*Source: Participación Cívica Project, 2016*

In 2016, the Project reached a wide range of CSOs in Guatemala. The Project engaged 82 CSOs in Accountability and Anti-Corruption and Transparency initiatives through trainings, TA, and Organizational Development (OD) assistance. Out of the 82 CSOs, eight are local NGOs, 63 are Foundations and/or Associations, eight are Media Outlets, and three are Think Thanks. This success is due to the Projects' wide outreach to CSOs, and their interest in the Project.

**Indicator 9 (DR.2.4-3) (Output):** Number of people affiliated with CSOs receiving transparency and anti-corruption training.

***Table 12**: F-Indicator 2.4-3 / Output Indicator 9*

| **Baseline Value** (2015) | **FY16 (Oct. 2015 – Sept.2016)** | | |
|---|---|---|---|
| | **Target** | **Actual** | **Annual Variance** |
| 0 | 500 | 189 | -311 |

The Project was able to progress by 37% toward the target set forth for the year through the implementation of nine trainings for CSOs that covered different sectors, including health and education. The FY16 target was estimated taking into account a projection of the reporting by subrecipients. The subrecipients will initiate their implementation activities in the first quarter of FY17. Additional detailed information on trainings can be found in **Appendix II**.

These trainings aimed to expose CSO representatives to basic watchdog tools. The Project began to strengthen CSOs' technical capacities in order for the CSOs to implement their anti-corruption activities more effectively. In total, the Project trained 189 individuals (females: 100, males: 89) from 82 different CSOs. The following is the list of trainings CSOs received:

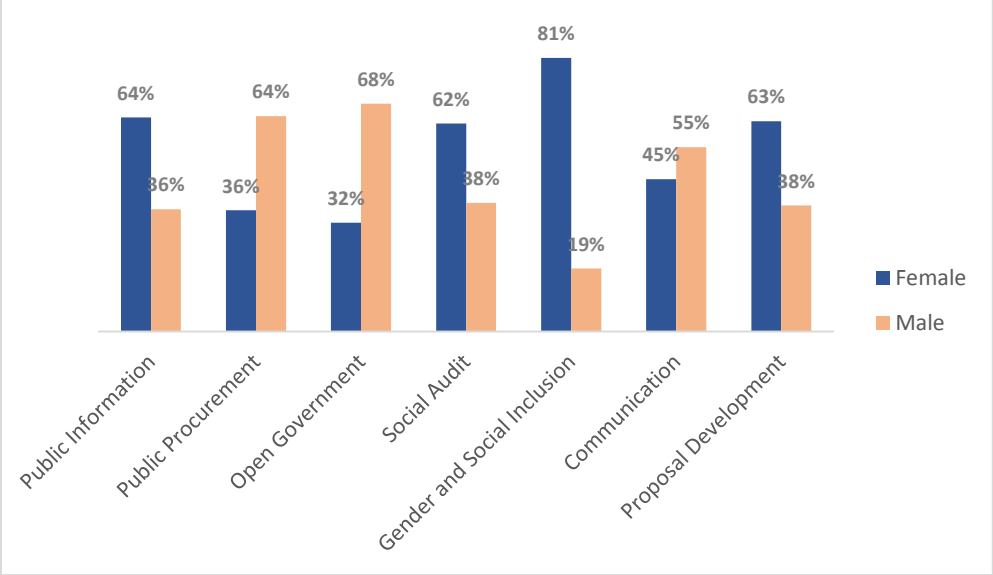
1. Access to Public Information in Guatemala: Experiences and Lessons Learned;
2. The Public Procurement Act and its Most Recent Amendments;
3. Open Government (via participation at international events);
4. Consultation Facilitation Techniques;
5. Citizen Participation and Social Audit;

6. Gender and Social Inclusion; and
7. Communications and Media

In addition to the trainings conducted with the CSOs on accountability and anti-corruption topics, the Project conducted a Proposal Development Workshop for CSOs to strengthen their OD capacity in this area. In total, 40 individuals were trained (females: 25, males: 15) from 19 different CSOs.

[The chart below shows the male/female participation breakdown per training course. As the chart illustrates more females attended the training in four out of the seven courses.

***Chart 2: Gender Disaggregation of Participants by Type of Training***




*Source: Participación Cívica Project, 2016*

The non-compliance of the FY16 target (500) is due to a delay in the start of subgrant activities which will contribute to the direct results of this indicator. The implementation of subgrants was not possible without approval of the Subaward Manual, which was approved in Q4 FY16. Therefore, the anticipated subrecipients were not able to implement the activities that would have contributed to the targets.

**Indicator 10 (DR.4-1) (Output):** Number of USG-supported activities designed to promote or strengthen the civic participation of women.

***Table 14**: F-Indicator 4-1 / Output Indicator 10*

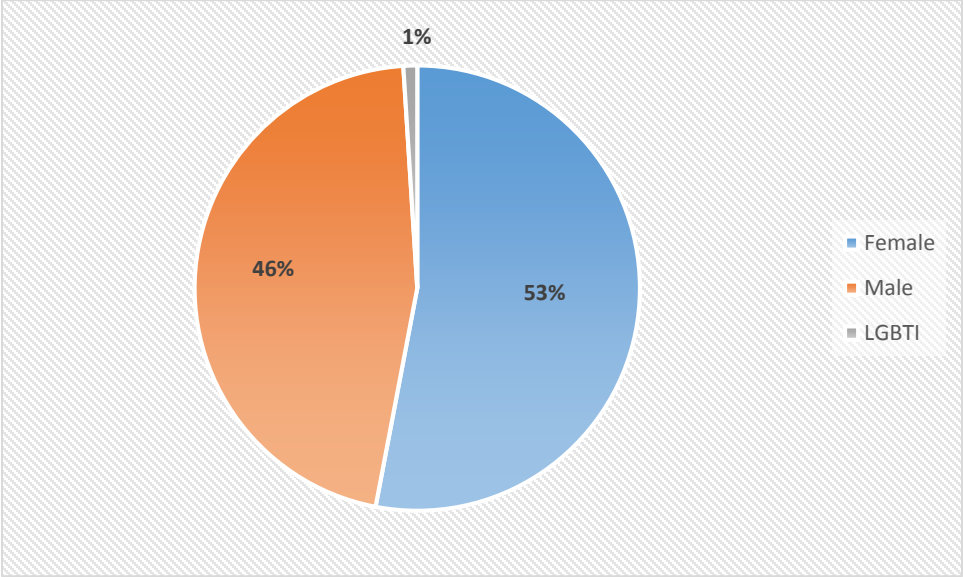
| **Baseline Value** (2015) | **FY16 (Oct. 2015 – Sept.2016)** | | |
|---|---|---|---|
| | **Target** | **Actual** | **Annual Variance** |
| 0 | 1 | 1 | 0 |

In the last quarter of Y1, the Project started its GESI training process to instruct prospective CSO partners on how to integrate GESI considerations into their anti-corruption and transparency initiatives. The Project designed an introductory GESI training with the focus on increasing the awareness of CSOs in

accountability, transparency, human rights, and marginalized populations issues. In total, 32 individuals from 19 CSOs participated in the introductory GESI training course (female: 26, male: 6) held on September 26-27. This included representatives from Guatemala's indigenous population and people with disabilities.

It is notable that the Project was able to include members of the LGBTI community into training activities. This group will be more involved moving forward with Project activities. As the chart below illustrates, the Project trained 53% females, 46% males, and 1% LGBTI persons.

***Chart 3: Gender Disaggregation of the Training Participant***




*Source: Participación Cívica Project, 2016*

The Project is designing a set of activities that will promote women's participation for the following years of the Project. These activities will include training, tailored TA, participatory case and field studies, and opportunities to encourage experience exchanges.

## Project Objective 2: Strengthen Institutional and Technical Capacity of Targeted CSOs

**Indicator 11 (Output):** Number of organizations with improved organizational capacity per Counterpart's OD Assessment.

***Table 15**: Output Indicator 11*

| **Baseline Value** (2015) | **FY16 (Oct. 2015 – Sept.2016)** | | |
|---|---|---|---|
| | **Target** | **Actual** | **Annual Variance** |
| 0 | 0 | Not applicable | Not applicable |

The Project will conduct an OD assessment with subrecipient organizations upon completion of receiving OD assistance one year after their initial start date. This indicator is not reportable because the Project is in the process of selecting subrecipients. This indicator will be reported in the annual report for Y2.

**Indicator 12 (Output):** Number of target CSOs with an increased financial sustainability score.

***Table 16**: Output Indicator 12*

| Baseline Value (2015) | FY16 (Oct. 2015 – Sept.2016) | | |
|---|---|---|---|
| | **Target** | **Actual** | **Annual Variance** |
| 0 | 0 | Not applicable | Not applicable |

This indicator is not reportable during the reporting period.

**Indicator 13 (Output):** Number of collaborative relationships CSO subrecipients that are involved with another entity.

***Table 17**: Output Indicator 13*

| Baseline Value (2015) | FY16 (Oct. 2015 – Sept.2016) | | |
|---|---|---|---|
| | **Target** | **Actual** | **Annual Variance** |
| 0 | 2 | 0 | -2 |

The non-compliance of the FY16 target (2) is due to a delay in the start of subgrant activities which will contribute to the direct results of this indicator. The implementation of subgrants was not possible without approval of the Subaward Manual, which was approved in Q4 FY16. Therefore, the anticipated subrecipients were not able to implement the activities that would have contributed to the targets.

The Y1 target was estimated assuming the launching of the Project's subaward program in early 2016. The subrecipients will initiate their implementation activities in Y2.

## Result 2.1: Increased number of CSOs engaged in transparency and good governance issues with increased organizational capacity

**Indicator 14 (DR.4.2-2) (Output):** Number of CSOs receiving USG assistance engaged in advocacy interventions.

***Table 18**: F-Indicator 4.2-2 / Output Indicator 14*

| Baseline Value (2015) | FY16 (Oct. 2015 – Sept.2016) | | |
|---|---|---|---|
| | **Target** | **Actual** | **Annual Variance** |
| 0 | 6 | 12 | +6 |

The targets set for this indicator was a projection of subrecipient activities for FY16, which could not be implemented without first approval of the Project's Subaward Manual (approved in Q4 FY16). However, while approval for the Subaward Manual was pending, the Project placed increased focus on implementing alternative activities offered directly to CSOs resulting in higher than expected participation rates. Additionally, six CSOs (out of the 12 actual) were reported earlier than expected due to the start of the Open Parliament (OP) Initiative, which contributed to exceeding this target. We originally anticipated that the OP initiative would take longer to launch but with the support from Congress, especially the Executive Committee of the Legislative Branch, the OP activities started much earlier.

The following table shows the CSOs assisted disaggregated by sector and geographic area.

***Table 19**: Civil Society Organization Assisted during FY16*

| CSOs Assisted | Area of Advocacy |
|---|---|
| *Acción Ciudadana* | Open Government |
| *Guatecambia* | Open Government |
| *Guatecivica* | Open Government |
| *Red Ciudadana* | Open Government |
| *Instituto Centroamericano de Estudios Fiscales (ICEFI)* | Open Government |
| *Centro Internacional para investigaciones en Derechos Humanos* | Open Government |
| *Asociación de Investigación y Estudios Sociales (ASIES)* | Open Parliament |
| *Universidad Rafael Landívar* | Open Parliament |
| *Guatemala Visible* | Open Parliament |
| *Fundación Mirna Mack* | Open Parliament |
| *Jovenes contra la Violencia* | Open Parliament |
| *Movimiento Cívico Nacional* | Open Parliament |

**Indicator 15 (DR. 5.2-1) (Output):** Number of training days provided to journalists with USG assistance, measured in persons-days of training.

***Table 20**: F-Indicator 5.2.-1 / Output Indicator 15*

| Baseline Value (2015) | FY16 (Oct. 2015 – Sept.2016) | | |
|---|---|---|---|
| | Target | Actual | Annual Variance |
| 0 | 4 | 0 | -4 |

In September, the Project launched a Data Journalism Training Course, which combines remote tutoring support with traditional in-class training throughout its three scheduled stages: 1) Initial Remote Tutoring Support; 2) On-Site Course; and 3) Final Tutoring Support and Publication of Investigations, to be completed in Q1 of Y2. The overall purpose of this training is to increase the intensity and quality of investigative work in Guatemala while simultaneously developing and publishing journalistic investigations based on data journalism methodologies. Its original design was adjusted to respond to consultations with Media representatives and a Data Journalism specialist, hence the course was delayed and broken down into three stages 1) Topic selection and initial research via on-line tutoring, 2) In-class training, and 3) Continued remote coaching and publication of investigation), which extended its length to three months. Consequently, the course will be completed and yield results in Y2.

The trainings days for this training will be reported when the on-site course take place in Guatemala City.

## Result 2.2: Enhanced coordination and collaboration among CSOs engaged in transparency, good governance, particularly in creating spaces for dialogue and consensus around key issues and strategies

**Indicator 16 (Outcome):** Number of CSO networks established.

***Table 21**: Output Indicator 16*

| Baseline Value (2015) | FY16 (Oct. 2015 – Sept.2016) | | |
|---|---|---|---|
| | Target | Actual | Annual Variance |
| 0 | 1 | 1 | 0 |

In August 2016, a Memorandum of Understanding was signed by six CSOs to raise the profile of civil society in the OGP initiative in Guatemala. The CSOs plan to use this platform to promote anti-corruption efforts and to encourage citizen participation both domestically and internationally. The organizations that form the CSO Network for Open Government are:

- *Acción Ciudadana*
- *Guatecambia/Congreso Transparente*
- *Guatecivica*
- *Red Ciudadana*
- *Instituto Centroamericano de Estudios Fiscales*
- *Centro Internacional para investigaciones en Derechos Humanos*

Through facilitated organizational planning meetings (eight working group meetings were held), the Project successfully managed to convene CSOs sharing a common interest in anti-corruption initiatives into the CSO Network for Open Government (the Network), and forge productive relationships among each other and with their counterparts in the GOG. With the Project's support, key members of the Network participated in the 2016 Regional Americas Meeting of the OGP held in Montevideo, Uruguay, in order to exchange best practices and lessons learned from within the region. Upon their immediate return from Uruguay, the CSO participants worked as part of the CSO Network to develop the foundation of the 2016-2018 Open Government Action Plan. As a result, the GOG and CSOs were able to reach agreement on the methodology to develop the Action Plan.

**Indicator 17 (Outcome):** Number of CSO networks strengthened.

***Table 22**: Outcome Indicator 17*

| Baseline Value (2015) | FY16 (Oct. 2015 – Sept.2016) | | |
|---|---|---|---|
| | Target | Actual | Annual Variance |
| 0 | 0 | Not applicable | Not applicable |

This indicator is not reportable during Y1 of the Project.

**Indicator 18 (Outcome):** Number of activities executed by CSOs resulting from collaborative relationships among two or more organizations to advance transparency and good governance initiative.

***Table 22**: Outcome Indicator 18*

| **Baseline Value** (2015) | **FY16 (Oct. 2015 – Sept.2016)** | | |
|---|---|---|---|
| | **Target** | **Actual** | **Annual Variance** |
| 0 | 5 | 9 | +4 |

On August 11, 2016, the GOG adopted the 2016-2018 Open Government Action Plan. This represented a culmination of three-months of arduous work – starting from scratch – between CSOs and the Executive Branch (including all 14 cabinet ministries), the Office of the Comptroller General, the Ombudsman's Office, Congress, and other government agencies. The Project accompanied this process by assisting in setting up a coalition of CSOs responsible for motivating the GOG and other CSOs to reactivate the Open Government Partnership in Guatemala (CSO Network for Open Government).

The Project was successful in achieving the target for this indicator. It was able to execute four activities over the target for Y1. Activities contributing to this indicator include the activities resulting from the collaboration of the CSO Network for Open Government, stakeholder consultations, and the revision and approval of the 2016-2018 Open Government Action Plan. The table below summarize the activities resulting from the collaboration of the CSOs and their geographic location.

***Table 23**: Activities resulting from the collaboration of CSOs*

| **Activity** | |
|---|---|
| **1)** | **Public call for participation in consultation process (press conference).** |
| **2)** | **Creation of a space for citizen opinions on the Open Government website, promotion of "I am Open Government" campaign on websites and social media of interested stakeholders.** |
| **3)** | **Open Government Forum (OAS) held in the National Palace of Culture.** |
| **4)** | **Forums for open citizen consultations (3 Forums).** |
| **5)** | **Technical Roundtable Meetings (2 rounds)** |
| **6)** | **Meeting of Technical Roundtable and Open Government Workshop for discussion on viability and impact of commitments generated by thematic roundtables.** |
| **7)** | **Open Government Technical Roundtable Meeting for approval and validation of the final draft of the 2016-2018 of Open Government Action Plan.** |
| **8)** | **Submission of the final draft of 2016-2018 Open Government Action Plan.** |

# APPENDICES

## Appendix I: Performance Indicator Tracking Table

| No. | Indicators | Baseline Value 2015 | Y1 – FY16 | | |
|---|---|---|---|---|---|
| | | | Target | Actual | Variance |
| **Project Goal: strengthen and develop the capacity of Civil Society Organizations (CSOs) in Guatemala to play a more effective role in addressing citizen security, accountable governance and corruption issues.** | | | | | |
| 1 | % change in citizens' perception of civil society's ability to influence government decision making. | TBD | TBD | TBD | TBD |
| 2 | % change in the perception of target civil society organizations in their ability to change government decision-making. | TBD | TBD | TBD | TBD |
| **Objective 1: Support targeted CSOs' efforts to promote accountable governance and combat corruption** | | | | | |
| 3 | Number of transparency and/or anti-corruption policies completing at least one of each of the following stages of development as a result of USAID assistance: 1. Stakeholder consultation/public debate; 2. Drafting or revision; 3. Approval (legislative or regulatory). | 0 | 2 | 0 | -2 |
| 4 | Number of public services improved as a result of CSO advocacy. | 0 | 0 | N/A | N/A |
| 5 | Number of training days provided to executive branch personnel with USG assistance (2.2.2-6). | 0 | 20 | 1 | -19 |
| 6 | Number of media stories covering Accountability, Transparency, or Anti-corruption issues informed by partner CSOs. | 0 | 4 | 2 | -2 |
| 7 | Number of USG-supported anti-corruption measures implemented. (2.2.4-7) | 0 | 5 | 3 | -2 |
| **Result 1.1: Increased number of CSOs that successfully conduct advocacy for reform processes and the monitoring and auditing of state performance and compliance.** | | | | | |
| 8 | Number of CSOs/Social Organizations Assisted. | 0 | 35 | 82 | +47 |
| 9 | Number of people affiliated with CSOs receiving transparency and anti-corruption training. (DR.2.4-3) | 0 | 500 | 189 | -311 |
| 10 | Number of USG-supported activities designed to promote or strengthen the civic participation of women. (DR.4-1) | 0 | 1 | 1 | 0 |
| **Objective 2: Strengthen Institutional and Technical Capacity of Targeted CSOs** | | | | | |
| 11 | Number of organizations with improved organizational capacity per Counterpart's OD Assessment. | 0 | 0 | N/A | N/A |
| 12 | Number of target CSOs with an increased financial sustainability score. | 0 | 0 | N/A | N/A |
| 13 | Number of collaborative relationships CSO sub-grantees are involved in with another entity. | 0 | 2 | 0 | -2 |

| No. | Indicators | Baseline Value 2015 | Y1 – FY16 | | |
|---|---|---|---|---|---|
| | | | Target | Actual | Variance |
| **Result 2.1: Increased number of CSOs engaged in transparency and good governance issues with increased organizational capacity** | | | | | |
| 14 | Number of CSOs receiving USG assistance engaged in advocacy interventions (DR.4.2-2) | 0 | 6 | 12 | +6 |
| 15 | Number of training days provided to journalists with USG assistance, measured persons-days of training (DR.5.2-1) | 0 | 4 | 0 | -4 |
| **Result 2.2: Enhanced coordination and collaboration among CSOs engaged in transparency, good governance, particularly in creating spaces for dialogue and consensus around key issues and strategies** | | | | | |
| 16 | Number of CSO networks established. | 0 | 1 | 1 | 0 |
| 17 | Number of CSO networks strengthened. | 0 | 0 | N/A | N/A |
| 18 | Number of activities executed by CSOs resulting from collaborative relationships among two or more organizations to advance transparency and good governance initiatives. | 0 | 5 | 9 | +4 |

## Appendix II: Training Activities Summary

| Event Name | Start Date – End Date | Location | # of participants (include disaggregation)[7] | | | Field of Study | Actual Cost |
|---|---|---|---|---|---|---|---|
| | | | Male | Female | Total | | |
| Access to Public Information in Guatemala: Experiences and Lessons Learned | April 12, 2016 May 17, 2016 | Guatemala City | 8 | 14 | 22 | Public Information | $1,892.41 |
| The Public Procurement act and its most recent amendments | May 31, 2016 June 2, 2016 | Guatemala City | 16 | 9 | 25 | Public Procurement | $ 5, 038.24 |
| Open Government Partnership (OGP) Americas Regional Meeting 2016 | May 31, 2016 June 2, 2016 | Montevideo, Uruguay | 4 | 1 | 5 | Open Government | $19,010.57 |
| OGP Facilitation Techniques Workshop | June 6, 2016 | Guatemala City | 18 | 10 | 28 | Open Government | $ 223.11 |
| Citizen Participation and Social Audit | Aug 12, 2016 Sep 14, 2016 | Guatemala City | 13 (LGTBI 2) | 21 | 34 | Social Audit | $9,357.00 |
| Proposal Development Workshop | Sep 1, 2016 Sep 2, 2016 | Guatemala City | 16 (LGTBI 2) | 22 | 40 | Management | $7,714.89 |
| Gender and Social Inclusion Training: Integrating Gender Equality and Social Inclusion in the Fight against Corruption | Sep 26 2016 Sep 27, 2016 | Guatemala City | 6 | 26 | 32 | Gender and Social Inclusion | $3,779.49 |
| Data Journalism Training Course | Sep 18, 2016 | IT Learning, Guatemala City | 13 | 4 | 17 | Communication | Ongoing |
| Communications and Media | Sep 22, 2016 Sep 23, 2016 | Guatemala City | 10 | 15 | 25 | Communication | $3,214.05 |
| Sub-Regional Meeting of Central America North Triangle + Dominican Republic | July 19, 2016 July 20, 2016 | El Salvador | 1 | 0 | 1 | Open Government Partnership | $924.03 |
| **Total** | | | **104** | **125** | **229** | | **$52,374.42** |

[7] Four of these participants represented the LGBTI Community and identified themselves as "Other": Two participants from the Citizen Participation and Social Audit Training and two from the Proposal Development Workshop. For reporting purposes and to enter information into TraiNet, the Project used a subjective labeling based on the names and physical appearance of participants.

## Appendix III: CSOs Assisted during FY16

| No. | Name | NGO | Foundations /Associations | Media Outlets | Think tanks |
|---|---|---|---|---|---|
| 1 | Acción Ciudadana | | X | | |
| 2 | Alas de Mariposas | | X | | |
| 3 | Alianza Norte 6 | | X | | |
| 4 | Alianza para la Paz | | X | | |
| 5 | Alianza por el Acceso Universal y Publico a la Salud | | X | | |
| 6 | Analistas Independientes de Guatemala | | X | | |
| 7 | Asociación de Investigación y Estudios Sociales (ASIES) | | X | | X |
| 8 | Asociación para el desarrollo de Vecinos de Mixco | | X | | |
| 9 | Asociación Civil Ernesto Schneider Troller | | X | | |
| 10 | Asociación Civil Justicia y Libertad | | X | | |
| 11 | Asociación Comisión Nacional de Acción por la Niñez, la Juventud y la Familia (ACONANI) | | X | | |
| 12 | Asociación de Vecinos de Residencias y Prados de Monte Maria Prados de Monte Maria | | X | | |
| 13 | Asociación DOSES | | X | | |
| 14 | Asociación Gente Positiva | | X | | |
| 15 | Asociacion Grupo Guatemalteco de Mujeres | | X | | |
| 16 | Asociación Lambda | | X | | |
| 17 | Asociación para Ayuda a la Niñez, Adolescencia y Juventud (ANADJU) | | X | | |
| 18 | Asociación para el Desarrollo Ecológico Vicamala | | X | | |
| 19 | Asociación Para el Desarrollo y Defensa de Los Intereses de los Vecinos de Mixco | | X | | |
| 20 | Cámara de Industria de Guatemala (CIG) | | X | | |
| 21 | Centro para la Acción de la Responsabilidad Social Empresarial en Guatemala (CENTRARSE) | | X | | |
| 22 | Centro de Acción Legal Ambiental y Social de Guatemala (CALAS) | X | | | |
| 23 | Centro de Estudios para la Equidad y Gobernanza en el Sistema de Salud (CEGSS) | | X | | |
| 24 | Centro de Investigación en Salud Urbana | X | | | |

| No. | Name | NGO | Foundations /Associations | Media Outlets | Think tanks |
|---|---|---|---|---|---|
| 25 | Centro de Investigación Gubernamental de Guatemala (CIGG) | X | | | |
| 26 | Centro de Investigación para la Prevención de la Violencia en Centroamérica (CIPREVICA) | | X | | |
| 27 | Centro Nacional de Información e Investigación en Desarrollo y Desastres (CENACIDE) | X | | | |
| 28 | Colectiva para la Defensa de los Derechos de las Mujeres en Guatemala (CODEFEM) | | X | | |
| 29 | Colectivo de Organizaciones Mayas de Guatemala Komon Mayab' | | X | | |
| 30 | Comité del Lago de Amatitlán | | X | | |
| 31 | Consejo Nacional para la Atención de las Personas con Discapacidad –(CONADI) | | X | | |
| 32 | Convergencia Ciudadana de Mujeres | | X | | |
| 33 | Asociación Civil Diálogos | | X | | |
| 34 | Donamor | | X | | |
| 35 | El Colectivo | | | X | |
| 36 | El Periódico | | | X | |
| 37 | Familiares y Amigos Contra la Delincuencia y el Secuestro (FADS) | | X | | |
| 38 | Fundación Esquipulas para la Paz, Democracia, Desarrollo e Integración | | X | | |
| 39 | Fundación para el Desarrollo de Mixco (FUNDEMIX) | | X | | |
| 40 | Fundación Sobrevivientes | | X | | |
| 41 | Fundación para el Desarrollo de Guatemala (FUNDESA) | | X | | |
| 42 | Grupo de Apoyo Mutuo (GAM) | | X | | |
| 43 | Grupo Guatemalteco de Mujeres (GGM) | | X | | |
| 44 | Guate Cambia | | X | | |
| 45 | GUATECÍVICA | | X | | |
| 46 | GUATEMALA VISIBLE | | X | | |
| 47 | Guatevisión | | | X | |
| 48 | Instituto Centroamericano de Estudios Fiscales (ICEFI) | | | | X |
| 49 | Instituto Centroamericano para el estudio de la Democracia Social (DEMOS) | | | | X |
| 50 | Instituto de Enseñanza para el Desarrollo Sostenible (IEPADES) | | X | | |
| 51 | Instituto de Estudios Comparados en Ciencias Penales en Guatemala (ICCPG) | | X | | |
| 52 | Instituto de Investigación e Incidencia Ciudadana | | X | | |
| 53 | Instituto de Relaciones Internacionales para la Paz (IRIPAZ) | X | | | |
| 54 | Instituto para el Desarrollo Económico Social de América Central (IDESAC) | | X | | |
| 55 | International Treatment Preparedness Coalition, Latin America and Caribbean | | X | | |

| No. | Name | NGO | Foundations /Associations | Media Outlets | Think tanks |
|---|---|---|---|---|---|
| 56 | Jovenes contra la Violencia | | X | | |
| 57 | Jovenes por Guate | | X | | |
| 58 | Kilometro 0 | | X | | |
| 59 | Laboratorio de Medios | | | X | |
| 60 | MAJOIS | | X | | |
| 61 | Mesa Nacional para la Migraciones en Guatemala | | X | | |
| 62 | Movimiento Cívico Nacional (MCN) | | X | | |
| 63 | Naleb' | X | | | |
| 64 | Nómada.gt | | | X | |
| 65 | Organización para el Desarrollo Integral y Sostenible de Oriente y Guatemala -ODISOG | X | | | |
| 66 | Organización Trans Reinas de la Noche (OTRANS-RN) | | X | | |
| 67 | Paz Joven Guatemala | | X | | |
| 68 | Plaza Pública | | | X | |
| 69 | Prensa Comunitaria | | | X | |
| 70 | Prensa Libre | | | X | |
| 71 | Red Ciudadana | | X | | |
| 72 | Red Guatemala Pacto Global | | X | | |
| 73 | Red Legal y su Observatorio de Derechos Humanos | | X | | |
| 74 | Red Multicultural de Mujeres Trans de Guatemala | | X | | |
| 75 | Red Nacional por la Integridad | | X | | |
| 76 | Red de la no Violencia contra las Mujeres (REDNOVI) | | X | | |
| 77 | Soy un Ciudadano | | X | | |
| 78 | Transparente.gt | | X | | |
| 79 | Tulasalud | X | | | |
| 80 | Unidad Positiva para el Desarrollo Ciudadano | | X | | |
| 81 | Unión Nacional de Mujeres Guatemaltecas (UNAMG) | | X | | |
| 82 | VICAMALA | | X | | |

## Appendix IV: Policy Tracking Template

*Stage 1: Stakeholder Consultation/Public Debate Stage 2: Drafting or Revision Stage 3: Approval (legislative or Regulatory)*

| # | WORK THEME | NAME OF COMMITMENT | RESPONSIBLE PARTY | STAGE OF THE POLICY | | | | | | DATA SOURCE | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Stage 1 | Completion Date | Stage 2 | Completion Date | Stage 3 | Completion Date | Reported by (Source of the information) | Means of verification (Where the data could be found) |
| 1 | Access to Public Information and Institutional Archives | Training in access to public information and institutional archives. | National Institute of Public Administration | | | | | | | | |
| 2 | Access to Public Information and Institutional Archives | Training to educational personnel in access to public information and institutional archives. | Coordinator: Ministry of Education and San Carlos University of Guatemala | | | | | | | | |
| 3 | Access to Public Information and Institutional Archives | Evaluation of good practices in access to public information. | Acción Ciudadana and Guatecambia | | | | | | | | |
| 4 | Access to Public Information and Institutional Archives | Establish a multisector roundtable to discuss, develop and present a bill to strengthen the right to access to public information and institutional archives, as well as regulation institution. | Congress of the Republic/Presidency Human Rights Commission | | | | | | | | |

| # | WORK THEME | NAME OF COMMITMENT | RESPONSIBLE PARTY | STAGE OF THE POLICY | | | | | | DATA SOURCE | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Stage 1 | Completion Date | Stage 2 | Completion Date | Stage 3 | Completion Date | Reported by (Source of the information) | Means of verification (Where the data could be found) |
| 5 | Technological Innovation | Create and implement and open data web portal, create and approve a national policy open data. | Presidential Science and Technology Secretariat Vice Ministry of Technology of the Ministry of the Interior | | | | | | | | |
| 6 | Technological Innovation | Technological Support for Open Government work themes through the establishment of an inter institutional technological roundtable for technological design and implementation of an Online directory of Public Services. | Presidential Science and Technology Secretariat | | | | | | | | |
| 7 | Technological Innovation | Design and implementation of an Online Directory of Public Services. | Presidential Science and Technology Secretariat | | | | | | | | |
| 8 | Technological Innovation | Digital Inclusion and Immersion at a Municipal Level | Presidential Science and Technology Secretariat Municipal Liaison: National Association of Municipalities. | | | | | | | | |
| 9 | Technological Innovation | Design of Online Platform for Public Information Queries | Presidential Science and Technology Secretariat National Institute of Public Administration | | | | | | | | |

| # | WORK THEME | NAME OF COMMITMENT | RESPONSIBLE PARTY | STAGE OF THE POLICY | | | | | | DATA SOURCE | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Stage 1 | Completion Date | Stage 2 | Completion Date | Stage 3 | Completion Date | Reported by (Source of the information) | Means of verification (Where the data could be found) |
| 10 | Technological Innovation | Digital Nation National Broadband Connectivity Plan | Superintendence of Telecommunications | | | | | | | | |
| 11 | Citizen Participation | Design and Implementation of a Pilot Program of "Ideathons" as mechanisms for citizens' collaboration and participation at a municipal level, to improve municipal services. | National Municipal Development Institute Municipal Liaison: National Association of Municipalities. | | | | | | | | |
| 12 | Citizen Participation | Create and Institutionalize Citizen opinion mechanisms for Legislative Proposals | Congress of the Republic | | | | | | | | |
| 13 | Citizen Participation | Raise Public Awareness of Open Government as a Mechanism for Citizen Participation | Presidential Secretariat for Social Communication | | | | | | | | |
| 14 | Accountability | Accountability Mechanisms in Local Government | Comptroller General's Office | | | | | | | | |
| 15 | Accountability | Promote Transparency in Actions Towards Disaster Risk Reduction | National Coordinating Office for Disaster Reduction (CONRED) | | | | | | | | |

| # | WORK THEME | NAME OF COMMITMENT | RESPONSIBLE PARTY | STAGE OF THE POLICY | | | | | | DATA SOURCE | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | Stage 1 | Completion Date | Stage 2 | Completion Date | Stage 3 | Completion Date | Reported by (Source of the information) | Means of verification (Where the data could be found) |
| 16 | Fiscal Transparency | Actions Towards an Open and Participatory Budgeting Process | Ministry of Public Finances (Open Budget Cabinet) Presidential Planning and Programmatic Secretariat (SEGEPLAN) Congress of the Republic of Guatemala | | | | | | | | |
| 17 | Fiscal Transparency | Actions towards compliance with the international monetary fund (IMF) fiscal transparency code and manual | Ministry of Public Finances | | | | | | | | |
| 18 | Fiscal Transparency | Actions aimed at improving the availability and quality of budgeting information | Ministry of Public Finances | | | | | | | | |
| 19 | Fiscal Transparency | Actions aimed at moving towards open hiring practices | Ministry of Public Finances | | | | | | | | |
| 20 | Fiscal Transparency | Actions aimed at moving towards fiscal transparency | Superintendence of Tax Administration | | | | | | | | |
| 21 | Fiscal Transparency | Advances in the implementation of the first level health care model | Ministry of Public Health and Social Assistance | | | | | | | | |
| 22 | Fiscal Transparency | Actions that contribute to improving the quality of education | Ministry of Education | | | | | | | | |